

**FINRA ARBITRATION Submission Agreement**

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In the Matter of the Arbitration Between

Name(s) of Claimant(s)

Jeffrey A. Dewees  
Alon Haim  
Luke Roy McKelvy  
Matthew D. Mendoza  
William A. Schellenberg  
Jay Tamkoc  
Reinhold Wigand

24-02157

Name(s) of Respondent(s)

Merrill Lynch Pierce Fenner & Smith Inc.

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1. The undersigned parties ("parties") hereby submit the present matter in controversy, as set forth in the attached statement of claim, answers, and all related cross claims, counterclaims and/or third-party claims which may be asserted, to arbitration in accordance with the FINRA By-Laws, Rules, and Code of Arbitration Procedure.
2. The parties hereby state that they or their representative(s) have read the procedures and rules of FINRA relating to arbitration, and the parties agree to be bound by these procedures and rules.
3. The parties agree that in the event a hearing is necessary, such hearing shall be held at a time and place as may be designated by the Director of FINRA Dispute Resolution Services or the arbitrator(s). The parties further agree and understand that the arbitration will be conducted in accordance with the FINRA Code of Arbitration Procedure.
4. The parties agree to abide by and perform any award(s) rendered pursuant to this Submission Agreement. The parties further agree that a judgment and any interest due thereon, may be entered upon such award(s) and, for these purposes, the parties hereby voluntarily consent to submit to the jurisdiction of any court of competent jurisdiction which may properly enter such judgment.

5. The parties hereto have signed and acknowledged the foregoing Submission Agreement.

/s/ Anahi Cruz (Attorney for Respondent) 12/03/2024  
Merrill Lynch Pierce Fenner & Smith Inc. Date  
State Capacity if other than individual (e.g., executor, trustee, corporate officer)

LC43A: SUBMISSION AGREEMENT

idr: 08/18/2021

RECIPIENTS:

Anahi Cruz, Esq., Merrill Lynch Pierce Fenner & Smith Inc.  
Morgan, Lewis & Bockius LLP, 300 South Grand Avenue, Twenty-Second Floor, Los Angeles,  
CA 90071



## **FINRA Arbitration Submission Agreement**

### **In the Matter of the Arbitration Between**

#### **Names of Claimants**

Mr. Jeffrey A Dewees  
Mr. Luke Roy Mckelvy  
Mr. William A Schellenberg  
Mr. Jay Tamkoc  
Mr. Alon Haim  
Mr. Matthew D Mendoza  
Mr. Reinhold Wigand

and

#### **Names of Respondents**

MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED

The undersigned parties ("parties") understand that an electronic signature below means that the party certifies that the information entered on the form is true and accurate, and that the party agrees to the terms of the following Submission Agreement.

The parties hereby submit the present matter in controversy, as set forth in the attached statement of claim, answers, and all related cross claims, counterclaims and/or third-party claims which may be asserted, to arbitration in accordance with the FINRA By-Laws, Rules, and Code of Arbitration Procedure.

The parties hereby state that they or their representative(s) have read the procedures and rules of FINRA relating to arbitration, and the parties agree to be bound by these procedures and rules. The parties further agree and understand that the arbitration will be conducted in accordance with the FINRA Code of Arbitration Procedure.

The parties agree that in the event a hearing is necessary, such hearing shall be held at a time and place as may be designated by the Director of Arbitration or the arbitrator(s).

The parties agree to abide by and perform any award(s) rendered. The parties further agree that a judgment and any interest due thereon, may be entered upon such award(s) and, for these purposes, the parties hereby voluntarily consent to submit to the jurisdiction of any court of competent jurisdiction which may properly enter such judgment.

#### ***Electronic Signatures***

By entering your electronic signature below, you are one of the following: (1) the claimant; or (2) a person with legal authority to bind the claimant; or (3) a person with firsthand knowledge of the facts and actual or implied authority to act on behalf of the claimant; or (4) an attorney who has actual or implied written or verbal power of attorney from the claimant to sign on the claimant's behalf and thus, bind the claimant to the terms of the Submission Agreement as if the claimant signed the form personally.

<b>Claimant</b>	<b>Signature</b>	<b>Capacity</b>	<b>Date</b>
Mr. Jeffrey A Dewees	/s/Barry R. Lax	Attorney for Claimants	10/07/2024
Mr. LUKE ROY MCKELVY	/s/Barry R. Lax	Attorney for Claimants	10/07/2024
Mr. William A Schellenberg	/s/Barry R. Lax	Attorney for Claimants	10/07/2024
Mr. Jay Tamkoc	/s/Barry R. Lax	Attorney for Claimants	10/07/2024
Mr. Alon Haim	/s/Barry R. Lax	Attorney for Claimants	10/07/2024
Mr. MATTHEW D MENDOZA	/s/Barry R. Lax	Attorney for Claimants	10/07/2024
Mr. REINHOLD WIGAND	/s/Barry R. Lax	Attorney for Claimants	10/07/2024